U.S. DEPARTMENT OF ENERGY
RECORDS MANAGEMENT PROGRAM

ROADMAP TO THE YEAR 2000

U.S. DEPARTMENT OF ENERGY
RECORDS MANAGEMENT QUALITY IMPROVEMENT TEAM

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D Records Management Guide for Downsizing and Terminating Programs *(Available in Hardcopy)*

EXECUTIVE SUMMARY

In 1988, the National Archives and Records Administration (NARA) evaluated the Department of Energy's records management program. NARA's report identified 40 specific program deficiencies and offered recommendations to correct each. The most serious deficiencies noted were insufficient attention to adequate and proper documentation of Departmental policies and programs, inadequate senior management support, and the lack of records disposition schedules.

In June 1990, the Department began reporting to NARA on progress toward implementing the recommendations. Although significant improvements were noted, the Department still received much criticism from Congress, the General Accounting Office (GAO) and NARA as to how it managed its recorded information. In particular, GAO found in a 1992 audit report that
Departmental performance in developing recordkeeping requirements to document program decisions and activities, compiling inventories of active and inactive records, and developing comprehensive records schedules was still seriously deficient. One of GAO's recommendations was to institute a Departmentwide planning initiative to correct these and other records management deficiencies. The Secretary concurred fully with that recommendation.

Subsequent planning and deliberation led to the realization that a tactical plan was needed for development and maintenance of an active and effective Departmental records management program. Therefore, in July 1993, the Department's Records Management Committee, consistent with the concept of total quality management, created a Quality Improvement Team (QIT) to review and evaluate the Department's records management program and its long-range program objectives. This "Roadmap" is the result.

The Roadmap reflects the Department's commitment to manage its recorded information in an efficient and effective manner in support of mission accomplishment and accountability. Paramount in this document are methods and techniques designed to improve the Department's records management program to provide greater access to DOE information, thus building credibility and trust with the Department's customers. Establishing such a protocol is a high priority item with the Secretary.

This document first identifies fundamental records management building blocks. The implementation of the actions contained in each building block will result in a restructured and highly effective records management program. The building blocks are:

- Institutionalization - The seamless integration of records management policies, procedures, and processes into DOE programs as a standard business practice.
- Credibility - The acceptance of the records management program for the benefits and values it provides.
- Education and Awareness - The instruction of DOE personnel and stakeholders in records management program requirements and benefits, and their responsibilities.
- Training - The providing of necessary training and skills development to staff at all levels.
- Communications - The timely exchange of information so that both the provider and recipient have a common understanding of the information being shared.
- Resources - The necessary resources to operate an effective and efficient records management program, including sufficient dollars; equipment; facilities; technologies; and most, importantly, staffs that are knowledgeable, well-trained, and experienced.

The Roadmap also identifies program and technical elements to be addressed, and each element's specific goal (s), and actions. Some of the elements are closely related and discussion of certain portions of these elements

is sometimes repetitive. However, each element is important enough to warrant a separate discussion. Some of the more critical elements are:

- Creation - To ensure that records management policies and procedures are used when records are created or information is collected, and records management concerns are addressed during systems design and program planning.
- Records inventorying, scheduling, and disposition - To maintain current information necessary to properly manage records, to determine the informational value of records, to ensure that information is routed to appropriate personnel in a timely manner, and when the records are no longer needed to conduct current business, disposed of properly or transferred to NARA.
- Recordkeeping requirements - To include in statutes, regulations, directives, and other authoritative issues, general and specific guidance on records to be created and maintained.
- Adequate and proper documentation - To ensure that the Department and its contractors create and maintain records that adequately document their programs and activities.
- Records declassification - To support the Departmental policy of openness by making appropriate information available to the public.
- Contaminated records - To rid the Department of contaminated records and to prevent future contamination.

1.0 INTRODUCTION

1.1 BACKGROUND

In 1988, the National Archives and Records Administration (NARA) evaluated the records management program of the Department of Energy (DOE). By citing many deficiencies, NARA correctly observed that the Department lacked the basic infrastructure and foundation for an efficient program that could support the information needs of program managers. This finding was confirmed in 1991 by a General Accounting Office (GAO) review.

Chief among the NARA observations was the lack of an up-to-date accounting for the Department's records holdings. Without basic information about the records, such as their information content, location, arrangement, uses, and value, there is no records management program. The Department's first priority was to inventory its records and, based upon that inventory, determine appropriate retention periods.

In 1991, the Under Secretary directed all Departmental Elements to inventory their records. A year later, Secretary Watkins issued a moratorium on the disposition of epidemiological records and directed that the identification and description of these records be given the highest priority. From that point on, the chief and, in some cases only focus was on the inventorying project. Such was the single focus of the records management program that some came to equate the program with simply inventorying and scheduling. This basic misunderstanding of the elements of a records management program concerned many members of the DOE records management community.

At a Records Management Committee meeting in June 1993, concerns were raised about the direction of the records management program and the need to promote its many elements. With the approval of the Deputy Director, Office of IRM Policy, Plans, and Oversight, the Committee formed a quality improvement team to draft a plan for the records management program. The following individuals are members of the team that drafted this Roadmap:

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1.2 ABOUT THIS ROADMAP

This Roadmap is being issued as a controlled document to ensure that recipients are provided with changes as they occur. Responsibility for controlling the Roadmap rests with the Records Management Division, Office of IRM Policy, Plans, and Oversight. Document control procedures are found in Appendix A. Please note that only the Records Management Division can issue controlled copies of the Roadmap. All other copies must be marked "FOR INFORMATION ONLY."

The completion or closing of all actions will be documented by the inclusion of products and reports as appendices to this Roadmap. These appendices will be furnished to all recipients of controlled copies of the Roadmap. Likewise, changes to the action items (additions, deletions, alterations of target dates) will be furnished to recipients of controlled copies.

Annually, at a minimum, the Roadmap will be reviewed in light of progress made, changes in program direction, and availability of resources. The review will be conducted by the Records Management Quality Improvement Team and recommended changes will be furnished to the DOE records management community for review and comment.

The priority action items in this Roadmap are linked to the goals of the Department as delineated in the integrated Departmental Strategic Plan. Action items are discussed in the text and are identified in the Milestone Chart (Chapter 6). In addition to the title of the action item, the Milestone Chart contains the responsible office and the target date for completion.

It is expected that all organizations will develop action plans based upon this Roadmap, but tailored to local needs. As developed, local action plans should be furnished to the Records Management Division.

2.0 PROGRAM OVERVIEW

"Each person who undertakes the public trust assumes two paramount obligations: To serve the public interest; and to perform with integrity." -Report of the Council for Excellence in Government

"Systematic attention to the management of government records is an essential component of sound public resources management which ensures public accountability. Together with records preservation, it protects

the government's historical records and guards the legal and financial rights of the government and the public." -OMB Circular No. A-130, Management of Federal Information Resources

2.1 RECORDS MANAGEMENT: THE IMPERATIVE

Good government requires good recordkeeping. This imperative, which is laid both on individual employees and on organizations, is fully reflected in a number of Federal laws and regulations which are too often ignored. The fact remains that an efficient, effective, fully functioning records management program throughout DOE is the necessary basis for an efficient, effective, and fully functioning Department.

Heads of Federal agencies are required by statute to create adequate and proper documentation of their programs, policies and procedures in the form of Federal records; to effectively manage these records; and to carry out their appropriate disposition. Doing so is not simply a legal mandate; it is also sound business practice. These goals, reflecting both law and good sense, are achieved through records management - the organized set of principles, policies, procedures, standards, and techniques for the life-cycle management of the Department's information.

The objectives of a good records management program have been achieved when the Department has the information it needs to fully carry out its mandated responsibilities in an efficient and effective manner; when it is able to provide the necessary documentation required by special circumstances such as audits or lawsuits without incurring large one-time costs; and when administrative continuity is protected as necessary records remain accessible, when officials leave and others replace them.

These fundamental objectives are shared with all business concerns; records management objectives for Federal agencies go further. Federal workers are public servants and Federal agencies are carrying out the public's business. Consequently, they are accountable to the public for their actions and activities.

Records are a primary means by which the public can monitor and assess agency activities. Moreover, as a result of doing the public business, many Federal records contain important information about individuals and groups - financial, legal, administrative and programmatic - that needs to be protected and preserved. Therefore, additional and extremely important objectives of Federal records management are ensuring public accountability and maintaining public trust, and protecting the rights and interests of both the Government and the people.

In the longer term, accountability becomes history. After records are no longer needed for current use, those designated for permanent retention are transferred to NARA. Records designated as permanent are those which provide the basic evidence of the activities and policies of the Federal Government, or those which contain information of potential interest to future researchers. Another records management objective is to identify and preserve these permanent records and ensure their timely transfer to NARA. The challenges faced by all Government agencies and the particular challenges faced by DOE combine to emphasize the importance of a strong records management program. Information is one of an agency's most important resources and providing it efficiently and cheaply to the public is at the core of better customer service. As the Government struggles to reinvent itself, many of the issues and agendas that are proposed relate to information: creating the necessary infrastructure for sharing information electronically; ensuring that the public gets the information it needs in a timely and efficient fashion through a variety of media; and preventing duplication and waste in information collection and dissemination.

For Federal agencies, the first and most basic step towards achieving these larger agendas is to focus on effectively managing recorded information in whatever form it takes - paper, electronic, audiovisual or cartographic. If an agency controls its information resources by knowing what records it has, where they are located and who is responsible for them through a strong records management program, it is well-positioned to make wise choices about issues relating to technology and information sharing.

More specifically, as DOE takes on new initiatives and approaches, success depends on a strong records management program. As sites reconfigure or are closed altogether, the problems of locating, transferring, and protecting records loom large. Efforts to speed up declassification and to make records relating to the environment and to worker and community health available to the public require an in-depth knowledge of the records in DOE custody that can only come through a vital and well-supported records management program.

2.2 GOAL

The goal of DOE's records management program is to manage the Department's records, regardless of media, throughout their life cycle in an effective and efficient manner in support of mission accomplishment and accountability.

2.3 CURRENT CONDITIONS

Through government reorganizations, DOE and its predecessors have created, collected, maintained, and dispositioned information of diverse organizations. Included among them are the Bureau of Mines; National Science Foundation; Office of Coal Research; Environmental Protection Agency; Energy Research and Development Administration; Federal Energy Administration; and the five Power Administrations. From this background of mission diversity and wide differences in organizational cultures has emerged a DOE information management program that is fraught with problems.

Extreme programmatic flexibility within the various organizations of DOE has resulted from the absence of standards, uniformity, and comprehensiveness in the DOE-wide program. Inconsistency in approach and application is common at most levels and locations. Lack of direction pervades, and cooperation and communication are difficult to sustain between individuals and organizations.

More important than the general failure to physically manage what is currently estimated to be about 3 million cubic feet of DOE documentation is the failure to effectively and efficiently manage the information contained therein. Although the Department produces many diverse "items," the bulk of what it produces - measured from any standpoint one chooses - is data and information. There exist astounding "cradle-to-grave" controls (and the associated resources) to ensure that these "items" are the best in the world, and are managed accordingly. Not so with the management of its most important resource: information.

It is ironic that records management is often perceived by the DOE community as being resource intensive, and that there is little value-added attributable to a good program. It is not uncommon to find more interest in managing the technology of information than the information itself. The program suffers, not only from a lack of understanding of the legal and regulatory requirements for managing information and records, but also from a lack of understanding of the techniques, standards, tools, equipment, and supplies which are available to help manage and operate a viable records management program.

Good management of DOE information must begin at the source, and the majority of documentation in DOE comes from contractors. DOE has struggled to institute controls and techniques to manage both the information of its federal offices and the information of its contractors. To date, its successes in this area have been spotty; a few of its failures spectacular.

A concerted effort within DOE is needed to bring uniformity to future information management contract clauses. In this way it would be clear to contractors that they are responsible for the creation and collection of adequate and proper documentation of DOE programs and activities, and the proper maintenance and disposition of documentary materials belonging to the Federal Government.

Training of both DOE and contractor personnel is needed. Unfortunately, there is a lack of respect and

recognition given to the individuals within the DOE information management profession, record managers and specialists, associated information management personnel, and supervisors of information and records programs. A demoralized information management professional and technical staff is not uncommon.

Not only is their expertise often not sought, but it is not heeded when given. Information management personnel are all too familiar with the sometimes strong resistance they meet when trying to foster good information management practices. One reason for the resistance is that there is no perceived repercussions from non-compliance with information management laws, regulations, directives, and other authoritative issuances.

The failure to adequately and properly document DOE programs and activities has a cost beyond the normal business environment; it also impacts upon the societal costs associated with issues involving the health and safety of DOE employees, contractor employees, the citizenry, and the well-being of natural habitats.

Yet, despite continual criticism of the program by NARA, GAO, elements of the research community, segments of the Congress, and others, the allocation of available resources to improve and sustain a comprehensive information management program continues to be blocked.

A number of assumptions about the records management program in DOE have driven the development of this Roadmap and impact its implementation. Most fundamentally, carrying out the actions in this Roadmap will increase the effectiveness of the records management program and significant benefits to the Department will be realized. At the same time, implementation will require additional resources, not all of which will be made available. It will take time to move the perception of the program from "keeper of the files" to "partners in management." Much can be accomplished, but choices will have to be made and priorities established.

Demands on the time and expertise of DOE records managers will continue to increase. The major inventorying and scheduling effort for DOE records, a highly resource intensive activity and the baseline effort to meet the Department's information needs, will continue. DOE will also continue to be scrutinized by regulatory agencies and will have to provide information in response. Public access to Departmental information will remain a priority, as will litigation requirements.

The Secretary's initiative on openness, and the push to declassify more information, assumes that records managers will be available to identify and retrieve information. Specific programs to locate and provide access to records, such as epidemiological records, will require strong support from records managers. Moratoriums on records destruction imposed by these special programs, and reconfiguration of the weapons complex, will also continue to make demands on records managers by increasing and changing records storage and retrieval requirements. Finally, realignment of programs in keeping with current Administration initiatives will increase the records management workload, particularly since the shrinkage of Federal resources will not be accompanied by a corresponding shrinkage of recorded information to be managed.

Fast changing information technology will continue to pose challenges and to offer new solutions. An information highway will become a national reality. New programs will generate new types of records that will need to be managed, and media other than paper will become increasingly important. Records managers will need to increase their skills and expertise to deal with the changing types and volume of information.

At the same time, the use of new technology to manage and access information across the Department offers the opportunity to compensate, at least in part, for shrinking resources. The design and use of electronic systems can and should make the jobs of records managers easier and should introduce standardization of processes while allowing necessary flexibility.

In the end, it is a certainty that continuing oversight of Federal agency activities by the media, researchers and writers of all types, politicians, lawyers, and special issue advocacy groups will keep a spotlight on the records

and information which document the Government's policies, procedures, decisions, and actions. The public perception of DOE and its credibility will be diminished by its inability to provide access to information, just as the agency's ability to carry out its mission effectively will be impaired by poor records management. Clear and effective mechanisms for identification, access controls, and storage are necessary to ensure that records are available to meet the needs of DOE and its stakeholders. A well-run records management program will bring credibility to itself and to the Department. Implementation of this "Roadmap" can put the Department on the "road to success."

2.4 SUMMARY

The shrinkage of Federal resources will not be accompanied by a corresponding shrinkage of recorded information to be managed. Demands on the time and expertise of DOE information managers will continue to increase. The major inventorying and scheduling effort for DOE information, a highly resource-intensive activity and the baseline effort, will continue. At the same time, DOE will continue to be scrutinized by regulatory agencies and will have to provide information in response. Public access to DOE information will remain a priority, as will litigation
requirements.

Fast-changing information technology will continue both to pose challenges and to offer new solutions. New programs will generate new types of information that will need to be managed, and media other than paper will become increasingly important.

Information managers will need to increase their skills and expertise to deal with the changing types and volume of information. At the same time, the use of new technology may compensate, in part, for the shrinking resources. The design and use of electronic systems can and should make the jobs of information managers easier, and should introduce standardization of processes while allowing necessary flexibility.

While certain costs of managing information and records are easy to determine (e.g., the cost of filing equipment, supplies, a magnetic disk, a roll of microfilm, etc.) the hidden cost of poor information management is virtually impossible to calculate. What is the hidden cost of a misfiled document that delays the making of a correct, timely decision? What is the hidden cost of referring to, relying on, or using recorded information that is inaccurate, obsolete, or incomplete? No one really knows. But one can conclude that these hidden costs, at a minimum, are a significant drain on scarce resources and, at a maximum, could surpass the entire cost of any one of a number of DOE mission programs.

Clear and effective mechanisms for identification, access controls, and storage are necessary to ensure that information is available to meet the needs of DOE and its stakeholders. It is hoped that this Roadmap will put DOE on a path that will increase the effectiveness of the information management program and add significant benefits to the DOE mission. Much can be accomplished, but choices will have to be made and priorities established for a successful DOE information management program.

2.5 APPLICABLE REQUIREMENTS

Information management in the Federal Government is conducted according to a number of laws and regulations. From these laws and regulations, DOE has derived policies and procedures that must be followed in the management of recorded information. In addition, there exists a number of national standards that DOE has applied to its records management program. Information management oversight agencies have issued guidance on implementing the requirements in law and regulations. Appendix B is a list of authoritative and guidance documents which will provide the reader with the statutory and regulatory basis for the program and additional sources of information relating to information management.

3.0 RECORDS MANAGEMENT PROGRAM BUILDING BLOCKS

There are many elements required to build a solid records management program. The building blocks needed for a well-run program consist of a comprehensive and uniform program that is both credible and understood. There should be initial and on-going records management training. All these building blocks should be placed on a strong foundation of sufficient resources: sufficient funding, equipment, facilities, technologies, and knowledgeable, well-trained, experienced people.

3.1 INSTITUTIONALIZATION

A successful information management program integrates information and records management polices, procedures, and processes into DOE programs as standard business practices. This integration is referred to as institutionalization.

Records management is usually perceived within an organization as a program that handles records at the end of the records' life cycle. Most organizations do not know the benefits derived from the records management discipline and see little, if any, added value in institutionalizing records management principles, concepts, and practices. Too often, records management is
perceived as a low-level administrative function where records of limited use are stored and maintained in warehouses and seldom used.

Changing this perception requires education, training, awareness, and a solid comprehension of the way a records management program supports and relates to the myriad missions and functions of the various organizations. Typically, senior-level management needs to be convinced that a solid records management program provides substantial return on their investment of resources.

In today's competitive, diverse, and highly-complex working environments, effective decision
making is more difficult and, typically, has a far reaching impact. In many instances, managers reach decisions based on incomplete and inaccurate information that can put an organization in a less effective position than it would be otherwise.

Records managers know all too well that this situation occurs frequently. Oftentimes, managers do not properly preserve or access records that could significantly contribute to strategic planning, problem solving, and decision making. For example, policies and procedures must be implemented to ensure that the information structure manages the risks associated with not having adequate documentation as evidence in litigation of compliance with applicable statutes and regulations. In addition, records managers must see that adequate security, protection, and confidentiality is ensured for all records for the appropriate periods of time.

Since recorded information management is a widespread activity, the management of information must be formalized as a critical component of the overall corporate structure. The aim is to manage information as a corporate resource instead of treating it as a departmentalized, functional resource. A records management blueprint would clarify corporate philosophy and policy concerning records management. Such a plan would link the goals, objectives, and activities of an overall strategic plan to records management. In particular, the strategy must integrate the management of records with the management of automated information systems. In this way, records are managed as interrelated building blocks in the overall information structure of the organization, not as separate entities.

In order to establish a practice where records management becomes a daily function, employees must be trained in the handling and processing of recorded information. All employees who manage records should combine their knowledge of the records with the organization's processes, to ensure they can provide accountability and authentication of their records holdings, when needed to protect the rights and interests of the Federal Government and the general public.

Institutionalization of records management practices in the workplace will take a total quality effort, and will provide the right information in a timely manner to the decision makers, enhancing and increasing organizational effectiveness.

To create a comprehensive and uniform records management approach that is recognized and accepted as a standard business practice for all DOE organizations, the following actions should be initiated:

3.1.1 Promote the records management program through education and awareness. (See Section 3.3, Education and Awareness)

3.1.2 Solicit one or more Operations Office Manager or other senior officials to become advocates for management.

3.1.3 Require a minimum degree of mandatory records management training for all employees. (See Section 3.4, Training)

3.1.4 Include a records management debriefing as part of the employee termination and check-out process.

3.1.5 Include records management training consistent with other duties in position descriptions for all DOE employees.

3.1.6 Include a records management performance indicator in all managers' performance plans.

3.1.7 Include records management responsibilities in DOE "standards of conduct."

STATUS: Activities regarding this building block have begun and will continue for the short-and long-term. Headquarters and each site are responsible for achieving the action items, which should be finalized in fiscal year (FY) 1996.

3.2 CREDIBILITY

A successful records management program has credibility, meaning that the program is accepted for its benefits and the value it provides. The program delivers what it provides.

The goal is to create an effective, fully-supported records management program. A well-run program will provide credibility for its function and justification for fiscal allotment. To successfully accomplish this goal, the following actions should be initiated:

3.2.1 Increase responsiveness and timeliness of records retrieval.

3.2.2 Work on joint ventures with other agencies on records management issues.

3.2.3 Close out open audit items (NARA, GAO, and Federal Management Financial Integrity Act (FMFIA)).

3.2.4 Develop tools and techniques to determine or measure the level of satisfaction with a records management program.

3.2.5 Develop baseline surveys for measuring improvement.

STATUS: As in institutionalization, activities regarding this building block have already begun. All action

items will be completed in FY 1995.

3.3 EDUCATION AND AWARENESS

A successful records management program involves educating DOE personnel (both DOE and contractor) and the stakeholders (oversight agencies, the public, etc.) about records management program requirements, benefits, and their responsibilities relative to the program. Once records management literacy is obtained throughout DOE and the stakeholders' communities, the value and the credibility of the program will increase.

Currently, there are few products available to assist the public or non-DOE organizations in the use of DOE's information resources. Recommended products could include publicly available finding aids and information about how to access DOE records.

The goal is to educate and make DOE personnel, contractors and stakeholders aware of the records management program's requirements, benefits, and relative responsibilities. To successfully accomplish this goal, the following actions should be initiated:

3.3.1 Provide existing education and awareness materials to Oak Ridge for cataloging and centralized distribution.

3.3.2 Obtain the Secretary's endorsement of and commitment to the DOE records management program.

3.3.3 Actively seek participation in all information management conferences.

3.3.4 Provide records management related articles for the newsletter "IRM Update."

3.3.5 Issue a numbered memorandum soliciting articles for the "IRM Update."

3.3.6 Review the "IRM Update" distribution list to ensure that appropriate records management staff are on standard distribution.

3.3.7 Review membership, charter, and title of the IRM Council to ensure that records management is an integral part of the Council.

3.3.8 Brief the Deputy Assistant Secretary for Information Management on the records management program and the work of this Quality Improvement Team.

3.3.9 Review the Records Management Committee membership and determine if a charter is appropriate and if the committee is still necessary.

3.3.10 Develop a records management primer to be included in new employee orientation packages and briefings.

3.3.11 Support of the Secretarial initiative to make available information about classified records as they are declassified.

3.3.12 Support the Secretarial initiative to make available all records relating to human radiation experimentation and intentional releases.

STATUS: Activities regarding this building block have begun. Action items 1, 3, 4, 5, and 6 have been implemented. Items 2, 9, 10, 11, and 12 are in progress and should be complete in FY 1995. The implementation of this building block is the responsibility of Headquarters and each Field site.

3.4 TRAINING

Training is the process by which staff at all levels receive the technical training and skills development to do their jobs. For the purposes of this Roadmap, this description is directed to records management training.

A successful records management program has all employees appropriately trained in their records management responsibilities. This includes records management staff, records custodians, managers, scientists, and engineers.

Currently, records management training is not a requirement. A training curriculum for a new employee in records management does not exist and may be viewed as unnecessary.

To successfully accomplish this training goal, the following actions should be initiated:

3.4.1 Identify and document the training needs for records management professionals in an established records management training curriculum.

3.4.2 Identify what training is necessary for job classifications according to records management responsibilities.

3.4.3 Prepare a project plan and schedule to develop a generic training course which allows organizations to add to the course according to their training needs.

3.4.4 Establish a central clearinghouse or location for providing basic training materials for the DOE complex.

3.4.5 Develop and distribute a list or schedule of relevant DOE and non-DOE training courses to publicize current training resources to DOE and contractor personnel.

3.4.6 Identify mandatory training requirements in authoritative issuances.

3.4.7 Identify the functions of records management program coordinators, records officers, records management liaisons, records custodians, etc., in both the Federal and contractor sectors, and determine specific training requirements for each.

STATUS: Activities regarding this building block have begun. Action items 4 and 5 are in process and are the responsibility of the Savannah River Operations Office. Once the findings from these action items are known, activities regarding the other action items will increase and be ongoing. All action items should be finalized in FY 1995.

3.5 COMMUNICATION

Communication is defined as the timely exchange of information so both the provider and receiver have a common understanding of the information being shared.

Records management personnel should understand the program's objectives, priorities, and requirements. In turn, the entire DOE community should understand its roles and responsibilities in the records management program context. Policies, techniques, and resources should facilitate understanding the program at all levels, along with clearly identified channels of communication through which to exchange information.

At present, communication channels are neither properly identified nor appropriately used, and the absence of adequate technology is a barrier to communication exchange. Information technology is used infrequently to

accelerate and improve communications. Although there should exist different channels of communication depending on the types of information being communicated and the audiences, there are few channels. The use of information technology can improve both the timeliness and accuracy of communications.

To successfully accomplish this goal of communication, the following actions should be initiated:

3.5.1 Develop and maintain a directory of members of the DOE records management community and their areas of expertise and functional responsibilities.

3.5.2 Publicize the records management program using the actions discussed in Section 3.3.

3.5.3 Establish ongoing communications with site records management personnel through their DOE records management program coordinators.

3.5.4 Investigate electronic information sharing techniques and recommend one or more for implementation.

3.5.5 Have meetings with DOE records management professionals.

3.5.6 Ensure records management issues are addressed at IRM Council meetings.

3.5.7 Expand the charter of the Records Management Quality Improvement Team to include oversight of the implementation of actions identified in this Roadmap.

STATUS: Action items 2, 5, and 6 have been completed and the others are being worked on. The Nevada Operations Office is responsible for item 1; the Albuquerque Operations Office is responsible for item 7; Headquarters is responsible for item 4; and each site is responsible for item 3. All action items should be finalized by FY 1995.

3.6 RESOURCES

The proper management of information requires resources: sufficient dollars, equipment, facilities, technologies, and knowledgeable, well-trained, and experienced people. A successful information management program maximizes the resources available.

Historically, sufficient funds have not been available to support a strong records management program. Information has not been recognized as a resource needing to be supported. Records management and the role of records managers have been viewed as maintaining proper records in file cabinets or other storage facilities. Whereas the results of all program activities are found in these file cabinets or storage facilities, the documentation itself was not viewed as a valued product.

With the exception of information technology, little is presently known about how information management resources are acquired and budgeted in DOE. The recent Process Improvement Team on IRM planning has recommended that planning for information management be integrated with program planning. This process is being piloted by the Office of Energy Research; however, many questions remain, especially regarding the funding of information management at sites where contractors are performing work for more than one Headquarters organization.

To successfully accomplish this goal of maximizing resources, the following actions have been identified:

3.6.1 Identify and publicize the benefits of a records management program.

3.6.2 Link information management planning to program and strategic planning.

3.6.3 Include in all DOE planning processes the requirement that organizations must plan for the costs of information management along with all other costs associated with program execution.

3.6.4 Work with NARA, OMB, and other Federal agencies to pursue planning and budgeting for information management as an integral part of program planning and budgeting.

3.6.5 Review and guide the Office of Energy Research pilot planning project to ensure actions and costs associated with information management are considered along with the costs associated with technology acquisition. Such actions and costs should be integrated into program planning.

3.6.6 Establish a group to identify and develop, if needed, costing guidelines for information management activities throughout the life cycle.

3.6.7 Work with the Office of Policy, Planning, and Program Evaluation to ensure that all planning includes provisions for information management.

STATUS: Activities regarding this building block have begun. Action items 4 and 5 have been completed, while items 1, 2, 3, 6, and 7 should be finalized in FY 1995. Items 1, 2, and 3 are Headquarters' and the field's responsibilities. Items 4 and 7 are Headquarters' sole responsibilities.

4.0 RECORDS MANAGEMENT PROGRAM ELEMENTS

4.1 RECORDKEEPING REQUIREMENTS

Recordkeeping requirements are statements in statutes, regulations, agency directives, and other authoritative issuances providing general and specific information on particular records to be created and maintained by the agency. Since each agency is legally obligated to create and maintain adequate and proper documentation of its organization, functions, and activities, agency recordkeeping requirements should be issued for all activities at all levels for all media, and should distinguish records from nonrecord materials for agency purposes.

The formalized regulatory requirement to identify and define recordkeeping requirements is relatively new, and most agencies have yet to comply. Analysis of existing requirements has been difficult because of the lack of inventory and schedules, and changing missions, programs, and activities. There have been some limited efforts by individuals and organizations (e.g., the Nuclear Information and Records Management Association (NIRMA)) to identify DOE recordkeeping requirements.

Since there is little written guidance on the necessary requirements from NARA, it is important to exchange concepts, approaches, and successes in implementing the recordkeeping requirements regulation with other agencies. Other actions that should be initiated are:

4.1.1 Identify and define all recordkeeping requirements, both internally or externally imposed or established, or that need to be established.

4.1.2 Define all records series that should be or have already been created to properly document each mission, goal, objective, program, project, and activity for all DOE organizations.

4.1.3 Develop and issue policy and procedural guidance for recordkeeping requirements.

4.2 CREATION

A successful records management program begins with having good information management practices at the

creation of the information and using those practices throughout the life cycle of the information. This is critical because the manner in which the records are created and information collected impacts upon their (its) maintenance, use, and disposition.

In the past, DOE's records management activities focused on the maintenance and disposition of records rather than on the creation and collection of information. There is little evidence that DOE records management organizations have records creation programs, such as correspondence management, directives management, reports, and forms management. Also, while there may be programs to control records creation, records managers often are not included or consulted in planning for those programs.

In order to achieve the overall goal of a comprehensive records management program, specific records management requirements should be included in all programs, project plans, contracts, and directives. The requirements should contain details of which records are to be created and collected, maintenance and disposition information, prescribed storage media, organizational and physical location, etc.

To further ensure that these goals are achieved, the following actions are suggested:

4.2.1 Identify and analyze DOE recordkeeping requirements.

4.2.2 Review and revise DOE 1330.1, COMPUTER SOFTWARE MANAGEMENT, to address recordkeeping requirements.

4.2.3 Review local draft policies and requirements to assure recordkeeping requirements are included.

4.2.4 Have contractor records management staff review authoritative issuances to ensure recordkeeping requirements are included.

4.2.5 Identify, recommend, and coordinate recordkeeping requirements to be included in the Department of Energy Acquisition Regulations (DEAR).

4.2.6 Involve records management personnel in the development of record systems by researching DOE project activities (e.g., weekly program or project activity reports, presentations, and networking, etc.).

4.2.7 Establish procedures that allow records managers to participate in the development or revision of agency programs, processes, systems, and procedures to ensure that appropriate records planning is included.

4.3 ADEQUATE AND PROPER DOCUMENTATION

A successful records management program ensures that records are created that adequately document programs and activities, are protected, and are accessible throughout the life cycle. All Federal agencies are required by law to make and preserve records containing adequate and proper documentation, and to establish a continuing program for the efficient management of these records. Throughout the DOE complex, adequate and proper documentation is inconsistent and not clearly understood. Because of the size and complexity of the DOE and the varying records management programs at the sites, ensuring the adequacy of documentation DOE-wide will be a long-term goal. To successfully accomplish this goal, the following actions should be initiated:

4.3.1 Educate all employees, especially program staff and senior managers, about their records management responsibilities.

4.3.2 Review old directives for recordkeeping requirements and develop a database of this information. Keep the database current.

4.3.3 Ensure that new directives specify recordkeeping requirements, and that they do not conflict with existing directives.

4.3.4 Ensure DOE program evaluations include assessments of documentation at a site or by a program.

4.3.5 Have appropriate recordkeeping requirements that define what programmatic records need to be created, what format to use, and what preservation actions need to be taken, based on information content and storage media.

4.3.6 Ensure that contractors identify adequate and proper documentation requirements for their programmatic areas of responsibility.

4.3.7 Inventory and schedule all DOE records.

4.3.8 Provide assistance to all DOE organizations to ensure the requirements and schedules are implemented.

4.4 INVENTORY PROCESS

A successful records management program is founded on knowing what information is available and where it is located. Once records are inventoried, decisions can be made on the information's value and on how the records should be managed. An effective inventory covers all media and includes records, nonrecord materials, active, and inactive records.

The entire DOE complex was directed in DOE 1324.2A, RECORDS DISPOSITION, to inventory all DOE records in possession of both Federal and contractor employees. However, the inventory process lacks uniformity. There is an inconsistency in inventory methodologies, and many sites see the current inventory process as a one-time activity, while others view it as ongoing. The inventory process required in Order is inadequate for DOE's needs and requires significant revisions.

Changing the inventory methodology is time-consuming. Imposing new requirements in the middle of the labor-intensive inventory effort currently underway would be costly. However, an inventory that includes records and nonrecord material, active and inactive records, in all media is the foundation for any records management program. A successful inventory effort will result in the complete, current identification of DOE's records.

The following suggested actions will ensure timely completion of the current inventorying initiative and improvement of the process.

4.4.1 Identify and share the benefits of completing the inventories to obtain management support, and share successful management selling strategies.

4.4.2 Establish a group, consisting of representatives from multiple sites, to evaluate the current inventory process and to make recommendations for improvements, including standardization, simplification, and automation.

4.5 SCHEDULING AND DISPOSITION PROCESSES

A key part of any successful records management program is having a schedule of how long a record is kept before it is transferred to inactive record storage facilities, Federal Records Centers, other Federal agencies, NARA, or destroyed. For consistency of application, the schedules must be current, clear, specific and verified periodically.

Current DOE records schedules are inadequate, as pointed out in the 1988 evaluation by NARA. Many of DOE's records, particularly program records, are not covered by the schedules. Some schedule items are vague, some non-descriptive, and some are too general to be applied with any degree of accuracy. The schedules are outdated and do not reflect the current organization or mission of DOE. The schedules are incomplete due to a lack of a comprehensive records inventory.

The DOE records management program should develop comprehensive disposition schedules for all DOE records, including records maintained and managed by DOE contractors. Departmental and programmatic schedules for administrative, environmental, and weapons records should receive priority. To successfully accomplish this goal, the following actions should be initiated:

4.5.1 Identify existing departmental and programmatic schedules.

4.5.2 Define scheduling areas to ensure comprehensive coverage and designate a responsible organization in each area. Report to the Records Management Division on status of activities.

4.5.3 Develop, implement, and monitor a plan for the DOE scheduling effort.

4.5.4 Develop records retention and disposition schedules that are comprehensive and that represent the DOE complex, including departmental, programmatic, and site-specific schedules.

4.5.5 Establish a group composed of records management, information resources management (IRM), and automatic data processing (ADP) professionals to plan
the transfer of records scheduling and disposition process to an electronic system. Once the system is established, maintain the disposition schedules electronically.

4.5.6 Establish and implement a controlled distribution system for the dissemination of approved records schedules and other authoritative issuances.

4.5.7 Implement approved records schedules throughout DOE. (Prior to implementation, schedules must be approved by NARA).

4.6 ELECTRONIC RECORDS AND ELECTRONIC MAIL (E-MAIL)

Electronic records are generated by a number of electronic devices and stored on many types of storage media other than the traditional paper or microfilm. These records require both hardware and software to read or access. A goal of the DOE electronic records management program is to develop effective guidance for the creation, capture, protection, preservation, use and disposition of all electronic records.

The definition of electronic records is not clearly understood in many parts of DOE, and there are many interpretations as to just what the definition entails. Various organizations either have their own independent policies on electronic records or have no policy at all.

Through their recently proposed rulemaking in the Federal Register, NARA is attempting to establish Federal guidelines for the management of electronic records and E-mail. Once these guidelines are finalized, DOE will have a basis for establishing Departmental policies.

Records management practices are not coordinated with database management practices. Each function is not fully aware of the responsibilities and activities of the other. DOE guidance does not adequately address E-Mail, personal computer workstations, Local Area Networks, optical disk, and other electronic information technology. The use of technology is not standardized throughout DOE.

Public access to information in electronic format is minimal at best, yet public access will continue to be a high priority.

To improve the management of electronic records, the following actions are suggested:

4.6.1 Management of electronic records should be made part of the Department's overall records management order.

4.6.2 Develop an electronic records advisory and assistance team that will be available to advise DOE managers and organizations on technology to automate records management activities. This team should consist of computer and records management professionals and users. The team should also be able to assist on records management aspects of a manager's or organization's operation.

4.6.3 Based on the team's recommendations, include electronic records management elements in the proposed training program.

4.6.4 Once Federal policy on E-mail is finalized, conduct training on its implementation.

4.7 INFORMATION ACCESS

A successful records management program contains access controls to protect information and records against loss, destruction or alteration; and to ensure security requirements are met. Access controls both limit the people who may obtain the information or record, and ensure that the people who have rights to such information are allowed access.

In DOE there is no consistent access control policy or procedure. This inconsistency has resulted in confusion about who has authorized access and may have resulted in the inadvertent loss of information. Another result is confusion among the private and public sectors about the appropriate way to access information, which may have resulted in information not being made publicly available.

To increase effective access controls, DOE needs to develop guidance for organizations to ensure records are accessed by authorized personnel only, and that the appropriate access to the public is facilitated. This is particularly important as the increasing reliance on electronic information systems will impact and alter the manner in which information is both protected and made available. To develop such guidance, the following actions are suggested:

4.7.1 Survey DOE to identify all existing access control processes.

4.7.2 Review the processes and develop a standard process for DOE.

4.7.3 Develop and maintain an ongoing liaison with DOE Privacy Act and Freedom of Information Act officials, officials responsible for the protection of proprietary data and information, and legal officials having knowledge of these matters.

4.7.4 Review, and if appropriate, recommend revisions to controlling DOE regulations and directives in these areas to ensure that information policies, procedures, standards, and techniques are addressed.

4.8 ADEQUATE STORAGE CAPABILITY AND FACILITY STANDARDS

DOE records must be kept in adequate storage facilities to prevent their loss, destruction or contamination. Standards should address the special requirements, encountered by DOE, i.e., quality assurance records,

contaminated records, x-rays, and the records accumulating because of moratoriums.

In general, storage facility programs are inadequately funded and are given low priority by management. Many of DOE's existing storage facilities are inadequate and are of non-standard construction. Few facilities have or use modern records management technologies and frequently there is no protection from destructive forces such as fire or vermin. Even when DOE storage facilities meet construction standards, a lack of Departmental standards and procedures prevents optimum utilization. Facilities operated by NARA, including Federal Records Centers, will not accept contaminated records. Only a few Federal Records Centers meet DOE requirements for housing classified records. None have environmentally-controlled space meeting the requirements for the storage of x-rays and radiographs.

To improve the storage capability and facility standards, the following actions are suggested:

4.8.1 Form a group that will: (a) survey DOE sites to identify the magnitude of the problem, (b) provide demographics, (c) develop standards of operations, and (d) provide a plan of implementation.

4.8.2 Increase the use of electronic media (intelligent storage) to reduce the amount of physical space needed and to improve retrievability.

4.8.3 Establish a DOE National Records Center that would store the majority of inactive DOE records.

4.9 ALTERNATE TECHNOLOGIES

Alternate technologies are required to provide correct information promptly while cutting time, cost, and effort required to label, store, search, duplicate, and handle information.

Currently, DOE lacks standards and guidelines for storing records electronically. There is insufficient communication and coordination between records management and other information management and ADP management personnel. A basic set of DOE-wide requirements for use of technology that are flexible enough to allow sites to fulfill special requirements is needed. Federal recordkeeping requirements do not provide for the easy implementation of new technology.

To improve records management efficiencies, the following actions should be initiated:

4.9.1 Identify system requirements for each site and establish a set of DOE-wide requirements.

4.9.2 Request site requirements during the Records Management Conference.

4.9.3 Establish a group, including representatives from the ADP community to develop a plan to increase the use of new technologies to draft standardized DOE requirements and introduce new technologies to information management.

4.10 PERSONAL PAPERS & THE PREVENTION OF THE REMOVAL AND DESTRUCTION OF RECORDS

The rules for disposition of Federal records are stated in 36 Code of Federal Regulations 1228, "Disposition of Federal Records." No records can be destroyed without the approval of the Archivist of the United States. This approval is granted by general and agency-specific records schedules. Records may not be removed from Federal custody or destroyed, without regard to the provisions of these schedules. The unauthorized destruction, removal, or mutilation of records is punishable by fines and imprisonment as specified in 18 United States Code, Chapter 101 Part 2071. The heads of Federal agencies are responsible for ensuring that all employees are aware of the provisions of the law relating to unauthorized destruction, removal, or

mutilation of records, and should direct that any such actions be reported to them.

Personal papers are documentary materials of a private or non-public character that do not relate to or affect the conduct of an agency's business. These materials are excluded from the definition of Federal records and are not owned by the Government. Personal papers must be clearly designated and maintained separately from an office's records.

Currently in DOE there is a misunderstanding of what constitutes personal papers and personal papers are often intermixed with Federal records.

To safeguard against the improper removal or destruction of records, the following actions should be initiated:

4.10.1 Provide training to prevent the removal and destruction of records. Define personal papers and describe the management of personal papers. Special emphasis should be given to increasing the awareness and oversight among scientific and research personnel as to their obligations concerning DOE records and personal papers.

4.10.2 Issue an annual reminder on the management of Federal records. Upon receipt, each DOE organization should then distribute the reminder to its facilities, as appropriate. Ongoing awareness activities also should be considered, such as posters, pamphlets, etc.

4.10.3 Issue an annual reminder on the management of personal papers. Each DOE organization should then issue local implementing procedures. As contractually allowed, the maintenance of personal papers in DOE-provided facilities should be discouraged to minimize the cost of storing and managing non-Government property.

4.10.4 Each DOE organization should implement an effective program to ensure records are not removed, destroyed, or lost when individuals leave their employment with DOE.

4.10.5 Establish procedures to require the debriefing of departing senior officials by records management officials to ensure no records are inadvertently removed from Federal custody.

4.11 FILES MANAGEMENT PRACTICES AND EQUIPMENT

An important part of a records management program is an economical and efficient filing system(s) to maintain, use, and dispose of records in any media.

Filing schemes and classification of records vary from site to site and, sometimes, office to office. It is time consuming and costly to perform records activities under these conditions.

DOE's downsizing has caused some programs to be moved and consolidated or closed. Without a standardized classification filing scheme, the proper consolidation of these sites' records is impossible. Confusion will continue until a standardized process is adopted and training is provided.

To succeed in obtaining an economical and efficient filing system, the following action should be initiated:

4.11.1 Establish and implement standards and procedures for subject classifying, indexing, and filing of records for all media.

4.12 DISASTER PREVENTION AND RECOVERY PROGRAM

Policies, plans, and procedures to protect and to reconstruct records in the event of an emergency must be in place.

The responsibility for emergency preparedness and response is fragmented in DOE. Resources necessary to vital records protection have not been identified nor included in budgeting for emergency preparedness and operation. Responsibilities and procedures have not been clearly understood at operational levels.

Potential disasters will continue to drive the need to prepare for DOE operation under emergency conditions. Identification and protection of vital or other important records are essential for a successful disaster prevention and recovery program. To successfully accomplish this goal, the following actions should be initiated:

4.12.1 Define vital records and include the definition in standards for retention and disposition.

4.12.2 Perform risk assessments and develop a plan to address disaster prevention and recovery.

4.12.3 Develop policies and procedures to ensure protection from disaster or other emergencies.

4.12.4 Identify resources needed to mitigate the effects of disaster or other emergency on vital records.

4.12.5 Provide adequate training.

4.12.6 Participate in mock disaster scenarios to examine whether the procedures are adequate and current.

4.12.7 Identify and maintain communication and appropriate interaction with other DOE organizations responsible for emergency preparedness and response.

4.13 DOCUMENT CONTROL PROGRAM

A successful information management program ensures work-governing documents are current, accurate, readily available, and document changes are properly reviewed, approved, and disseminated.

In DOE, the document control program is principally used in nuclear programs and is implemented according to standards set by the American Society of Mechanical Engineers. There is no DOE-wide policy on document control and no consistency in the way the programs are implemented. Document control is often mistaken for records management, particularly in programs driven by individuals with a quality assurance background. The document control program has no program order, senior management representative, or sponsor.

To increase the benefits of a document control program for all media and sources, the following actions should be initiated:

4.13.1 Designate the Deputy Assistant Secretary for Information Management as sponsor for the document control program.

4.13.2 Establish a group to develop a DOE Order on document control and to identify additional issues and actions.

4.13.3 Have each site develop and issue a document control implementation plan according to the DOE Order.

4.13.4 Apply technology (including imaging) to appropriate areas including document creation, review, markup, comment resolution, approval, release, distribution, and copy capture.

4.13.5 Educate employees on the functions of a document control program and apply the program consistently.

4.14 PROGRAM EVALUATION PROCESS

A successful records management program periodically monitors and revises its records management practices and procedures to ensure compliance with appropriate policies and regulations, and good business practices.

Assistance visits are helpful, but are inadequate to effectively monitor and revise practices and procedures. Prior and existing evaluation efforts have not been standardized or documented. Followup on proposed corrective actions are minimal. To successfully evaluate the Department's records management programs, the following actions should be initiated:

4.14.1 Establish a basic, uniform procedure for conducting evaluations. Criteria should include a program analysis strategy as well as a method of determining when
findings have been rectified.

4.14.2 Educate management at all levels on the assessment processes and their responsibilities for funding and implementation.

5.0 RECORDS MANAGEMENT TECHNICAL ELEMENTS

5.1 DECLASSIFICATION INITIATIVE

Declassification is the process that certifies the safe disclosure of information previously withheld for national security reasons. A goal of DOE's records management program is to support the DOE initiative on declassification by assisting in identifying and locating classified information. The initiative supports the new DOE culture of openness, set by Secretary O'Leary, by making appropriate information currently classified available to stakeholders. The Secretary established priorities for declassification reviews in the following subject areas; public health and safety, off-site toxicity levels, worker exposure and hazards, and human radiation experiments. Primary responsibility for DOE's declassification effort rests with the Office of Security Affairs; however records management plays a key supporting role.

To support the declassification initiative the following actions should be accomplished:

5.1.1 Continue to identify classified documents using DOE's records inventorying and scheduling initiative.

5.1.2 Work with the Office of Security Affairs in support of the declassification initiative.

5.1.3 Work with the Office of Declassification in the establishment of OpenNet. Provide input to OpenNet if applicable. OpenNet is a database system created to provide bibliographic information to the public on declassified documents and documents of interest to the public via INTERNET.

5.1.4 Assist in ensuring that the Office of Scientific and Technical Information Office is informed via the change notice system when scientific and technical information documents are declassified.

5.1.5 Perform physical declassification if part of the sites Records Management function.

5.1.6 Request that declassified records have unclassified access limitation reviews conducted.

5.2 EPIDEMIOLOGY RECORDS

Epidemiology records are documents that contain industrial hygiene, worker identification and laboratory test results; and site organization, configuration, and operation information. A goal of the DOE records management program is to locate, inventory, and retrieve documents containing epidemiological information.

DOE's definition for epidemiology records is broad in its scope, and it is likely that staffs are spending time with records that are unnecessary for this specific inventory effort. Epidemiology records have never been completely inventoried and it is difficult to identify their locations because of the broad definition. The expertise needed to identify epidemiology-related material is not extensive.

The intent of the inventory is to have epidemiology records, including those relating to human radiation experimentation, readily identified and available for responses to internal and external requests. Multiple access requests for epidemiology records are uncoordinated and this lack of centralization drains resources. Internal and external organizations, including audit groups, are requesting the same information simultaneously and DOE's staff is limited for retrieval and response actions.

To successfully inventory epidemiology records, the following actions are suggested:

5.2.1 Consult with the Centers for Disease Control, National Institutes of Health, and the Office of Environment, Safety, and Health to revise the scope of what constitutes epidemiology records.

5.2.2 Establish a process for centralized coordination of site visits and handling of information requests.

5.2.3 Evaluate the feasibility of transferring these documents to electronic media.

5.3 CONTAMINATED RECORDS

Contaminated records are those records containing external impurities that render the media on which the records are stored unsafe for human handling without special precautions. DOE has a large number of records that are contaminated.

The goal of a contaminated records program is to eliminate contaminated records from DOE and external agencies' storage, to prevent future exposure of personnel to contaminated records, and to ensure no additional records become contaminated.

At present, the locations of all contaminated records are unknown. DOE is currently reviewing Federal Records Centers and NARA facilities to determine if they contain contaminated records. At least four Federal Records Centers and three presidential libraries have, or are suspected to have, contaminated records.

As DOE continues to revamp and downsize, more contaminated records will be discovered. The public perception of the word "contaminated" will continue to be the push in DOE's initiatives to respond to information requests.

To successfully accomplish this goal, the following actions should be initiated:

5.3.1 Identify all DOE contaminated records.

5.3.2 Retrieve and reconstruct the information contained in these records or decontaminate the records before

refiling.

5.3.3 Develop and implement methods to prevent future introduction of contamination into the records storage facilities.

5.3.4 Educate personnel regarding sources of contamination other than radioactive material.

5.4 CONTRACT LANGUAGE AND GOVERNMENT OWNERSHIP

All DOE contracts, regardless of type, should clearly establish the ownership of information created and used by contractors while performing work for the government.

Currently, contract language inconsistently addresses information ownership and management requirements, and there is no process to ensure compliance. In part, this is due to the variety of information management programs and processes among DOE contractors.

The following actions should be taken:

5.4.1 Work with the Records Management Division, DOE's records management officers, the Office of Procurement, Assistance, and Program Management, and the Office of General Counsel to develop and distribute contract language that clearly addresses information ownership and management requirements in all DOE contracts

5.4.2 Ensure contractors implement comprehensive programs consistent with contract records management requirements.

5.5 RECORDS MANAGEMENT FOR NONNUCLEAR RECONFIGURATION

Nonnuclear reconfiguration is a finite DOE effort to realign weapons design and manufacturing into a smaller, less costly operation. Besides the transfer of manufacturing technologies from donor sites to receiver sites, DOE's information management planning and implementation must accommodate the redeployment of the associated documentation to support these efforts.

DOE's goal is to improve the information management activities required to support production reassignments and technology transfer in DOE's nonnuclear reconfiguration project. To help facilitate this goal a Records Management Activity Transfer Group was established as a component of the nonnuclear reconfiguration project.

To successfully achieve DOE's goal, the following actions should be taken:

5.5.1 Establish roles, responsibilities, and authorities to accomplish documentation disposition, including transfer from donor to receiver sites.

5.5.2 Identify and inventory documentation at donor sites potentially eligible for transfer to receiver sites.

5.5.3 Include security, safety, and administrative controls to ensure compliance with laws, regulations, and good business practices.

5.5.4 Facilitate the scheduling of unscheduled nonnuclear reconfiguration-related records and the orderly disposition (including transfer to storage or destruction) of associated documentation, as appropriate.

5.5.5 Perform assistance visits and information management reviews of reconfigured sites.

5.5.6 Determine the feasibility of establishing a DOE classified records center for the storage of inactive classified records.

5.5.7 Where possible, use Federal Records Centers and NARA storage space for DOE inactive records (classified and unclassified).

5.5.8 Obtain consensus for, adopt, and distribute a uniform plan for the management of records associated with the reconfiguration to affected sites, organizations, and personnel.

5.5.9 Assist local records officers in accomplishing their nonnuclear reconfiguration records activities.

5.6 PLANT CLOSINGS

Reserved.

5.7 ENVIRONMENTAL ADMINISTRATIVE RECORD

An administrative record is the complete body of documents used to justify the selection of an environmental site cleanup remedy. A goal of the DOE's administrative records management program is to provide a framework for site-specific programs to meet the judicial review and public participation requirements of environmental cleanups.

The administrative record serves two primary purposes. First, it limits the judicial review of a Comprehensive Environmental Response, Compensations, and Liability Act (CERCLA) response action. That is, when a response action is challenged in court, the court can only review the information that is contained in the administrative record. The Environmental Protection Agency, which is responsible for Federal facility oversight, has little experience in overseeing the magnitude of cleanup activities required at DOE sites, and therefore more guidance is needed from DOE. Also, policies and guidance differ between regions because the regional Environmental Protection Agency staff has some latitude of interpretation.

The second purpose of the administrative record is to serve as a vehicle for public participation in selecting a response action because the administrative record must be made available for public inspection and comment. Each DOE site has different policies regarding the availability of site documents. This inconsistency has resulted in many of the documents, required by law to be in the administrative record, to be not readily available or accessible to the public. Although some specific guidance does exist defining which documents are in the administrative record, there is little consistency between DOE sites in identifying potentially related administrative record documents.

To successfully establish an administrative record framework, the following actions should be initiated:

5.7.1 Develop a set of criteria that identifies document types included in the administrative record.

5.7.2 Identify the requirements for maintaining the collection.

5.7.3 Identify who is responsible for developing the administrative record.

5.7.4 Conduct an evaluation of current DOE administrative record programs or projects for environmental cleanups.

5.7.5 Develop an overall DOE administrative records program for environmental cleanups that includes responsibilities, assessments, and storage and retrieval

criteria.

5.8 LITIGATION DOCUMENTS

Although DOE invests considerable resources in the retrieval of information associated with litigation, the lack of consistent information management practices has affected DOE's ability not only to clearly identify, but to manage information with possible legal, administrative, financial, and historical value.

The goal of a DOE information management program is to ensure litigation information is identified, protected, and accessible on a continual basis. To successfully achieve this goal, the following actions should be taken:

5.8.1 Establish consistent access mechanisms (e.g., records are indexed, retrievable, and appropriate physical controls, safeguards and storage requirements are in place).

5.8.2 Revise guidance to clearly state requirements for management of information potentially related to litigation activities.

5.8.3 Review and revise disposition schedules to adequately reflect retention requirements for litigation information.

5.8.4 Have the Records Management Division work in conjunction with the Office of Special Counsel to develop and implement strategies to provide for the identification, storage, and access mechanisms necessary to properly support litigation for DOE.

5.8.5 Establish a system to prevent the destruction of records still being used in litigation even though the retention requirement for their original purpose has expired.

5.9 WORKING PAPERS

Working Papers are rough notes, calculations, or drafts from which other documents are analyzed or prepared that may be record material if they are circulated for official purposes, used to communicate with agency staff about agency business, or if they contain information unique to the agency's formulation and execution of basic policies, decisions, actions, or responsibilities. Working papers are not confined to paper media and can exist in electronic or other media.

Lack of easily understood, definitive guidance on working papers has resulted in ineffective management of this type material. DOE personnel have maintained their drafts, calculations, and rough notes as nonrecord material under the belief they were not appropriate for preservation or have destroyed them, not realizing their potential value as record material.

The goal of a DOE's records management program is to ensure the correct classification (or reclassification when their value changes) of DOE documents known as working papers, and to increase awareness throughout DOE of the potential value and proper handling of these materials to facilitate the correct classification. Another goal is to have a clear understanding, throughout DOE, about what constitutes working papers and when they are considered record material.

There are a number of different terms being used interchangeably concerning working papers, including draft documents, working files, case working files, convenience files, nonrecord materials, records, and technical reference files. Accordingly, these terms need to be clearly defined and understood to ensure correct usage.

Working papers are currently included in the DOE's on-going inventory and scheduling initiative. They must

be accurately described and scheduled on the DOE Form 1324.10, Records Inventory and Disposition Schedule (RIDS) as record or nonrecord material.

Working papers represent a significant problem area in DOE's information management program because they are not fully defined or recognized, and processes associated with their proper use and disposition are not clearly understood or followed. To alleviate these problems, the following actions should be taken:

5.9.1 Create DOE guidance that clearly and fully defines working papers and specifies guidance for classifying, scheduling, and administering these materials. The guidance should address related categories of information with which working papers may be identified (e.g., convenience files, working files, nonrecord material,
technical reference files, etc.).

5.9.2 Establish methods to ensure working papers determined to have value not previously recognized are reclassified, rescheduled, and are not destroyed under their original working papers classification.

5.10 RESEARCH AND DEVELOPMENT (R&D) RECORDS

R&D records document DOE's basic and applied research, development, application, commercialization, and technology transfer activities. DOE's goal is to manage records of R&D activities to ensure:

- Documentation of research and development efforts, activities, and results.
- Effective identification and availability to other DOE contractors, DOE offices, universities, and industry, where appropriate.
- Promotion of technology transfer and national economic competitiveness.

While the bulk of DOE's national laboratories' information falls into this broad category, other DOE sites generate R&D information as well. The missions of DOE's research and development contracts are extremely diverse, as are their information management programs and processes. Standardization and consistency among laboratories and sites are nonexistent.

A large volume of DOE's R&D records have not been inventoried. Inventorying and characterizing scientific and technological records is difficult and requires a specialized knowledge to understand the value, use, and content of these records. Standard guidelines for appraisal (the process of determining the value and thus the disposition of a record) have not been established.

Some scientific staffs do not recognize government "ownership" of the products of federally-funded research, and believe the information is personally theirs to destroy or to donate to whomever they wish. The records generally have been managed by the scientists themselves rather than by trained information management personnel, and therefore some information is poorly organized. Funding for information management activities is not routinely requested or included as part of the research and development project funding proposals. Also, many advance technologies used to create R&D records (e.g., laser, spectrographs, scientific instruments that produce this information) involve electronic information management issues. (See Section 4.6)

To improve the management of R&D records, the following actions should be taken:

5.10.1 Task the basic research records scheduling group with determining an approach to inventorying, characterizing, and scheduling R&D records (i.e., categorize by scientific discipline or by DOE program office), and with reviewing and revising NI-434-89, "Department of Energy Schedule Research and Development Records." Once completed, the recommendations should be given to the inventorying group for inclusion in their work product.

5.10.2 Task the basic research records group with the development of appropriate guidance for improving management of DOE's R&D records, including implementation strategies.

5.11 PRIVACY ACT, FREEDOM OF INFORMATION, AND PROPRIETARY ISSUES

The Privacy Act and the Freedom of Information Act (FOIA) are laws that prescribe special policies, principles, standards, and techniques for the maintenance, use, and access to certain Federal records. The Privacy Act specifically addresses managing records that are searchable and retrievable by a person's name or a unique identifier. The FOIA addresses public access to existing Federal records, except those records that are exempt from the FOIA. Proprietary issues address the management of Federal records containing a business entity's proprietary information that, if
known to competitors or others would likely cause harm to the business entity.

A goal of DOE's records management program is to develop and implement processes, standards, and systems to provide for the creation, maintenance, use, and/or access to Federal records according to requirements of the Privacy Act, FOIA, related laws, Executive orders, regulations, and directives.

DOE directives prescribe the management of Privacy Act, FOIA, and proprietary information, and Privacy Act and FOIA programs are well entrenched within DOE. Over time, a large and growing body of case law has provided additional guidance to DOE in the management of these records.

However, records management professionals are not always a part of or knowledgeable in, the activities associated with these records.

To successfully achieve these goals, the following actions should be taken:

5.11.1 Develop and maintain an on-going liaison with DOE Privacy Act and FOIA officials, officials responsible for the protection of proprietary data and information, and legal officials having knowledge of these matters.

5.11.2 Ensure that records management concerns are addressed in the development and implementation of DOE directives and regulations governing the creation, maintenance and use, and access to Privacy Act data and information within DOE and DOE contractor organizations.

5.11.3 Assist in the communication with and providing services to the public regarding Privacy Act records management systems within DOE, and provide mechanisms that ensure that all protection provided by law, Executive orders, regulations and directives are in place and enforced.

5.11.4 Assist Privacy Act Officers in identifying record series covered by the Privacy Act in order to ensure the series are included in DOE's Privacy Act Systems of Records.

5.12 TECHNOLOGY TRANSFER

Technology transfer is the transformation of Research and Development (R&D) information into processes, products, and services that can be applied by state and local governments, and the private sector. The R&D laboratory technology transfer programs emphasize personal interaction between the technical staff of the R&D laboratories and representatives of the public and private sectors.

A goal of DOE's records management program is to have an effective recordkeeping procedure to maintain and protect information necessary for the technology transfer program.

While the Cooperative Research and Development Agreement addresses records concerns, the approach in recordkeeping is inconsistent. Records management staffs are not always involved in records management decisions relating to technology transfer activities. Also, no current records disposition schedules exist for records involved in technology transfer.

To successfully achieve this goal, the following action should be taken:

5.12.1 Establish a group to determine how records relating to technology transfer activities are to be managed. A new schedule may or may not be appropriate. Industry standards on recordkeeping may play a part in records retention.

5.13 VITAL RECORDS

Vital Records consist of two categories: emergency operating records, which are records essential to the continued functioning or reconstitution of an organization before, during, and after an emergency; and rights and interests records, which are records essential to protecting the rights and interests of an organization and the individuals directly affected by its activities. Vital records also are referred to as essential records, and are an integral part of an agency's disaster prevention and recovery program.

Examples of emergency operating records include:

- Emergency plans, directives and procedures
- Delegations of authority
- Staffing requirements
- Records for the maintenance of public health and safety
- Mobilization and protection of materials and staff
- Military and weapons records

Examples of rights and interests records include:

- Accounts receivable records
- Social security records
- Payroll records
- Retirement records
- Insurance records
- Research records

A goal of the DOE's records management program is to protect and recover vital records if there is a natural disaster, hazard, or civil defense emergency.

The volume of vital records is difficult to keep at a manageable level, and the logistics and cost of maintaining duplicate records at off-site locations represent major barriers. Adequate storage may not be available at or near Emergency Operating Centers, and many DOE storage facilities do not meet facility standards. The cost of upgrading deficient DOE facilities is a major impediment. Privacy Act and legal considerations for duplication of and access to certain types of records are also obstacles to program implementation.

Responsibilities and procedures need to be understood at the operational levels because vital records programs have not been implemented fully at all DOE sites.

To successfully accomplish the goal, the following actions should be taken:

5.13.1 Develop and issue DOE criteria for identifying and selecting Vital Records, regardless of media.

5.13.2 Issue local directives that set site responsibilities, authorities, and procedures, and include the formal designation of vital records managers.

5.13.3 Provide training in vital records identification, maintenance, and protection, and make the training available to appropriate personnel at all levels.

5.13.4 Develop plans for identifying, protecting and storing vital records. Apply management controls to offsite storage locations to ensure that the emergency copy is accurate, current, and complete.

5.13.5 Conduct annual reviews to determine whether the vital records selected are current, complete, adequately protected, accessible, and usable when needed.

5.13.6 Modify policies, procedures, and records, as needed, to reflect changes in mission, programs, or operations.

5.13.7 Establish and maintain an active, ongoing program for the efficient and economical management of vital records.

5.13.8 Establish safeguards for maintenance and protection against removal or loss of those records determined to be essential.

5.14 AUDIOVISUAL RECORDS

Audiovisual records include still and motion pictures, graphic materials, audio and video recordings, and combinations of media. Related records include production files and finding aids. Production files document the origin, development, acquisition, use, and ownership of the audiovisual records. Finding aids are used for identifying, retrieving, or using audiovisual records. These may include indexes, catalogs, lists, and logbooks, etc., and may be in paper, card, microfilm, or electronic form.

Audiovisual records are highly vulnerable to damage and require special handling and storage. At present, DOE lacks appropriate facilities to preserve these records. This situation is causing rapid deterioration of these records and the permanent loss of the information contained therein. The extent to which problems exist is currently unknown, but problems will continue until facilities are upgraded.

A goal of DOE's records management program is to have an effective process for creation, maintenance, use, storage, and disposition of audiovisual and related records.

To successfully achieve this goal, the following actions should be taken:

5.14.1 Review, revise, and issue guidance on the creation and maintenance of audiovisual records that incorporates regulatory requirements.

5.14.2 Incorporate information, policies, and procedures concerning audiovisual records into training and awareness materials.

5.14.3 Ensure the scheduled disposition of audiovisual records early in their life cycle since they are more perishable than textual records.

5.15 CARTOGRAPHIC RECORDS

Cartographic records are graphic representations, drawn to scale, of selected features of the earth's surface and atmosphere, and of other planets and planetary satellites. Included as cartographic records are engineering drawings, maps, charts (hydrographic/nautical, weather, and aeronautical), photomaps, orthophotomaps, atlases, cartograms, globes, relief models, and related records, such as field survey notes, map history case files, and finding aids. Digital cartographic records such as geographic information system records are managed like other electronic records.

A goal of DOE's records management program is to properly maintain all cartographic records according to DOE needs and requirements, and to properly preserve permanent cartographic and architectural records by transferring them to NARA, as appropriate.

To properly maintain cartographic records, the following actions should be taken:

5.15.1 Assess how well DOE's management of cartographic records complies with regulatory requirements.

5.15.2 Clearly define, describe, and schedule DOE cartographic records to ensure their authorized disposition.

5.16 ENGINEERING DRAWINGS

Engineering drawings are viewed within DOE as a special category of cartographic records because they are voluminous, often quality affecting, and are critical to the safe construction, operation, maintenance, and destruction when necessary of DOE facilities and equipment. Because engineering drawings are perhaps the most significant document for a facility's configuration management program, the information depicted must be kept current and accurate throughout the facilities' and equipments' full life cycle. Most engineering drawings now associated with DOE facilities are created on computer-assisted design (CAD) systems and must be managed as electronic records.

A goal of DOE's records management program is to have readily available the technical design information that supports design, construction, operation, maintenance, and decommissioning of DOE facilities.

Currently, DOE is not making full use of its electronic information management resources, and in most cases the "record copy" for drawings is the signed hard copy instead of the electronic dataset. Administering engineering drawings electronically is severely negatively affected by the lack of policy on electronic authorization and signature.

There is a receptive audience within DOE to automated processes for managing drawings. Unfortunately, this enthusiasm has resulted in nonstandardized CAD system hardware and software configurations at many DOE sites. Multiple, fragmented drawing management databases exist on DOE sites. They do not include all site drawings or current changes.

On many sites, drawing accuracy and integrity has diminished or drawings were not turned over in a usable format. A loss of configuration control has resulted because drawings were not maintained in current status with facility changes.

To have technical design information readily available, the following actions should be taken:

5.16.1 Form a group to develop a DOE drawing management technical standard that identifies:

- Documents which constitute engineering/design information (e.g., drawings, calculations, requisitions, etc.).
- Good business practices for each step of the drawing life cycle (e.g., creation, checking, review,

comment resolution, approval, release, distribution, revision, cancellation).
- Database integration and electronic authorization criteria.
- Standardized output requirements (i.e., format, numbering, legibility, etc.) for offsite contractors and suppliers.
- Retrofit guidelines.
- Linked configuration management, document control, and records management programs for this data.

5.16.2 Implement standardization at each site, as appropriate and require any site-specific variations to be justified and documented.

5.16.3 Implement an integrated document control system at each site that recognizes engineering drawings as DOE-owned technical information resources. Ensure drawings conform to standard DOE-specified requirements and that they are turned over to DOE as a contract deliverable.

5.17 X-RAYS AND RADIOGRAPH RECORDS

X-rays and radiographic records are created using radiology technologies to verify the interior conditions of people and things. These records are usually in the form of a thin film, which varies considerably in size. Some of these records can produce hazardous byproducts during the aging process, while others completely lose their value due to fading and deterioration. Because of their physical characteristics, x-rays and radiographs will continue to deteriorate if not stored under certain conditions -- particularly in a temperature and humidity-controlled environment.

The goal of the DOE records management program is to establish a program that provides guidance to adequately manage x-rays and radiographs in a safe, sensible manner. To successfully achieve this goal, the following actions should be taken:

5.17.1 Develop policies and procedures to adequately address requirements to fully identify all DOE holdings of x-rays and radiographs.

5.17.2 Have each DOE organization complete an inventory of all radiographs and x-rays.

5.17.3 Develop policies and procedures to adequately address requirements to evaluate each collection for its current value to DOE, i.e., legal, epidemiology, quality.

5.17.4 Develop polices and procedures to adequately address requirements for realistic storage, based upon the value of the record.

5.17.5 Have each DOE organization evaluate each collection to assess its value and the risks associated with its storage and retention.

5.18 QUALITY ASSURANCE (QA) RECORDS

The broad definition of QA records is a completed document that furnishes evidence of the activities affecting the caliber of work or the work product. In DOE there are many interpretations of what is a QA record, which has led to numerous and sometimes conflicting requirements. In some cases, records are being stored longer than necessary while other records are destroyed too quickly or not protected as required by a regulation.

A goal of DOE's records management program is to develop DOE-wide guidance for managing QA records, which satisfies the requirements of DOE 5700.6C, QUALITY ASSURANCE, and facilitates a graded approach to each site's application of the Order.

American Society for Mechanical Engineering (ASME) NQA-1, Criterion 17, was previously adopted as the standard for the control and protection of DOE's QA records; however, application varies from site to site. DOE 5700.6C, rescinded ASME NQA-1 as the mandatory standard for the processing and control of QA records. The nuclear industry standards and requirements have been the basis for most quality assurance requirements. These nuclear requirements are costly to meet and not needed for all QA records.

Using other standards and guidance documents such as ASME NQA-2/NQA-3, NARA requirements, Environmental Quality Assurance Requirements, etc., along with DOE 5700.6C, DOE now can more accurately and efficiently apply QA records controls while the activities are being documented.

To successfully achieve this goal, the following actions should be taken:

5.18.1 Create a team of records and quality management professionals to develop the DOE-level QA records management policy and guidance concerning the creation, maintenance, and disposition of Quality Records. The policy and guidance should provide a standard definition for each type of QA record and the criteria for determining DOE QA records. Records management participants should be assigned from the DOE QA Records Special Interest Group and NIRMA's DOE Special Interest Group.

5.18.2 Issue the policy or guidance for a broad review and comment cycle to all DOE offices, contractors, regulatory agencies, and affected stakeholders; such as Federal and state agencies, NARA, NIRMA, Association of Records Managers and Administrators, etc.

5.18.3 Once a DOE-wide program is established, require each DOE site to develop site-specific implementing directives and procedures to satisfy sites' missions and the overall requirements for creation, use, maintenance, protection, and disposition of the records. Directives and procedures should satisfy site requirements for state, public and regulatory agency involvement. Each site should use the group approach, with representatives from records management and quality assurance.

6.0 MILESTONE CHART (Available in Hardcopy)

The milestone chart summarizes the program and technical elements described in the Roadmap. Several indicate which office has primary responsibility for accomplishing the action. Timelines have been included for each element; however, milestone dates will be revisited as the elements are addressed.

APPENDIX A

DOCUMENT CONTROL

1.0 PURPOSE

This procedure defines the process for the controlled distribution of unclassified controlled documents released and received by the Records Management Division, Office of IRM Policy, Plans, and Oversight.

2.0 SCOPE

This procedure applies to the controlled distribution of designated, approved, controlled documents originated or issued by the Records Management Division. All uncontrolled copies of controlled documents shall be marked in red ink, on the document cover page, "FOR INFORMATION ONLY."

3.0 DEFINITIONS AND REFERENCES

3.1 DEFINITIONS

3.1.1 Reserved

3.2 REFERENCES

3.2.1 Reserved

4.0 PROCEDURE

4.1 CONTROLLED DOCUMENT DESIGNATION

4.1.1 Records Officer/Designee:

4.1.1.1 Designate which documents are to be distributed as controlled documents and determine their initial distribution requirements.

4.1.1.2 Ensure that controlled documents are uniquely identifiable by title, number, revision, and date.

4.2 CONTROLLED DOCUMENT DISTRIBUTION

4.2.1 Records Officer/Designee:

4.2.1.1 Ensure that the information required for processing each document is complete and accurate; resolve any discrepancies.

4.2.1.2 Enter document control information onto Controlled Document List (CDL).

4.2.1.3 Prepare Controlled Document Distribution List (CDDL).

4.2.1.4 Distribute document using Controlled Document Transmittal and Receipt Acknowledgement

(CDTRA).

4.3 RECEIPT ACKNOWLEDGEMENT

4.3.1 Document Recipient:

4.3.1.1 Complete the CDTRA and return to the Records Management Staff within time frame specified.

4.3.2 Records Officer/Designee:

4.3.2.1 Maintain file and log of CDTRA's.

4.4 DOCUMENT INQUIRY

4.4.1 Records Officer/Designee:

4.4.1.1 If a signed CDTRA is not received by the requested date, complete the Controlled Document Inquiry (CDI).

4.4.1.2 Forward CDI to Document Recipient.

4.4.2 Document Recipient:

4.4.2.1 Complete CDI and return to Records Manager.

4.5 REVISIONS

4.5.1 Records Officer/Designee:

4.5.1.1 Review distribution requirements annually and update as necessary.

4.5.1.2 Initiate revisions or change pages to controlled documents as described in 4.1.1. Ensure that the revision number
or change number and effective date are plainly visible on the document cover sheet and the document pages.

4.5.1.3 Distribute revisions or changes pages in accordance with 4.2.

4.5.2 Document Recipients:

4.5.2.1 Notify the Records Officer when individuals must be added to or deleted from existing controlled document
distribution lists or if controlled documents must be transferred from one individual to another.

4.5.3 Records Officer/Designee:

4.5.3.1 Update appropriate Controlled Document Distribution Lists.

4.5.3.2 If an addition, distribute document(s) in accordance with 4.2.

4.5.3.3 If a deletion, notify the document recipient which documents must be destroyed, marked "FOR

INFORMATION ONLY" in red ink on the document cover sheet, or returned to the Records Officer. Update the file copy of the CDTRA.

4.6 OBSOLETE OR SUPERSEDED DOCUMENTS

4.6.1 Records Officer/Designee:

4.6.1.1 Use the CDTRA to issue instructions to each Document Recipient on the applicable Controlled Distribution List(s) to immediately destroy the subject document(s) or mark the document(s) in red ink on the document cover sheet, "SUPERSEDED, FOR INFORMATION ONLY."

4.6.2 Document Recipient:

4.6.2.1 Complete CDTRA and forward to the Records Coordinator.

4.6.3 Records Officer/Designee:

4.6.3.1 Log, file, and maintain all CDTRA's.

[NOTE: Formats to be provided separately.]

APPENDIX B

APPLICABLE REQUIREMENTS

2.0 Program Overview

44 United States Code (U.S.C.), Chapter 21
44 U.S.C., Chapter 29
44 U.S.C., Chapter 31
44 U.S.C., Chapter 33
44 U.S.C., Chapter 35
42 U.S.C., 2011-2296
18 U.S.C., Chapter 101
5 U.S.C. 552
5 U.S.C. 552a
3 CFR 166
10 CFR Part 1004
10 CFR Part 1008
36 CFR Chapter 12, Subchapters B, C, and D
41 CFR Chapter 201
48 CFR Chapter 9
DOE 1700.1
DOE 1800.1A
DOE 1324.2A
DOE 1324.3
DOE 1324.4
DOE 1324.5
DOE 1324.6
DOE 1324.8
DOE 1330.1C
DOE 1340.1A
DOE 1350.1
DOE 1360.2A
DOE 1360.4B
DOE 1360.6
DOE 1430.2A
DOE 1430.3
DOE 5484.1
DOE 5700.7B
DOE 5610.2
DOE 5630.9A
DOE 5632.5
DOE 5635.1A
DOE 5635.2A
DOE 5635.4
DOE 5637.1
DOE 5639.1
DOE 5650.2B
DOE 5650.3
DOE 5670.2
DOE 5700.6C
OMB Circular No. A-130
GRS, NARA

Radiological Control Manual, Assistant Secretary for Environment, Safety, and Health, June 1992.

"Better Planning Needed to Correct Records Management Problems," GAO Audit Report RCED-92-88, (ADL-92-005), dated May 8, 1992, GAO.

"Disposition of Federal Records, A Records Management Handbook," NARA, 1992.

"Evaluation of the Records Management Program of the Department of Energy," NARA, December 1988.

NARA pamphlet "For the Record: Guidelines for Federal Records and Personal Papers.

American society of Mechanical Engineers Nuclear Quality Assurance Standard (NQA-1), Quality Assurance Program Requirements for Nuclear Facilities.

Executive Order 12356, National Security Information, of April 2, 1982.

4.5 Scheduling and Disposition Process

44 U.S.C. 2904, 3102, and 3301
36 CFR 1228.12 (b), (c), (d), and (e)
36 CFR 1228.20 (b)(6) DOE 1324.2A

4.10 Personal Papers and the Prevention of the Removal and Destruction of Records

"Disposition of Federal Records, A Records Management Handbook," published by NARA, 1992 edition.

NARA pamphlet "For the Records: Guidelines for Federal Records and Personal Papers."

4.12 Disaster Prevention and Recovery Program

36 CFR 1236
Executive Order 1256
ASME NQA-1
DOE 1324.8
DOE 5500.7B
DOE 5500.1B
DOE 5500.2
DOE 5500.2B
DOE 5500.3A
DOE 5500.8
DOE 5484.1

5.7 Environmental Administrative Record

Section 113 (k) of CERCLA, as amended by the Superfund Amendments and Reauthorization Act (SARA)

5.8 Technology Transfer

Chapter 63, U.S.C. Annotated

SEN 30A-92
Public Law (P.L.) 99-502
P.L. 101-189
P.L. 102-564
Freedom of Information Act

5.13 Vital Records

DOE 5500.7B
DOE 1324.8
36 CFR 1236
Executive Order 12356, National Security Information

American Society of Mechanical Engineers (ASME) NQA-1, Quality Assurance Program Requirements for Nuclear Facilities.

5.14 Audiovisual Records

GRS 21, Audio Visual Records
36 CFR 1232

5.15 Cartographic Records

36 CFR 1228.186, Cartographic and Architectural Records

GRS 17, Cartographic, Aerial Photographic, Architectural and Engineering Records

5.18 Quality Assurance (QA) Records

DOE 5700 series DOE 1300 series American Society of Mechanical Engineers (ASME), Nuclear Quality Assurance (NQA)-1 standard